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ABSTRACT

The paper examines collaborative program development in participatory nonformal education, emphasizing the process of programming based on field experiences of the Center for International Education of the University of Massachusetts. The objective is to serve as an initial step in the development of collaborative programming theory and practice. It is presented in six chapters. Chapter I defines collaboration in nonformal participatory education and identifies its historical origins, emphasizing economic and social developments and the contradictions within them. Chapter II discusses collaboration as a process, examining reasons for emphasizing the process rather than the product, and identifying constraint areas and goals. Chapter III suggests elements characterizing environments, agencies, and personnel of successful collaborative programs, such as government attitudes, flexibility, responsiveness, interdependence, cooperation, and communication. Chapter IV defines training needs, stressing skills needed, possible training methods, and the importance of consciousness raising. Chapter V outlines five stages in the collaborative process (exploration, establishment of the program, evaluation, establishment of procedures, and implementation) and offers facilitating methods to use during each stage. Chapter VI recommends further examination of the stages of collaboration, critical analysis of the prescriptions offered and their attendant values, and further analysis of the economic and political forces which direct collaborative efforts. Charts and figures illustrating the collaborative process conclude the study. (CK)

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PREFACE

Since 1968, the Center for International Education of the University of Massachusetts (CIE) has been involved in nonformal education programs both in the United States and overseas. Center members, representing both industrialized and industrializing nations, have worked to develop a process for educational programming which places emphasis on the quality of human interaction among all participants and which draws its strength from the participatory, learner-teacher role that each participant may assume. This process can be referred to as "collaborative program development in participatory nonformal education." The process, however, is not complete; the material presented here is a description of the state of that endeavor. Practitioners whose experiences are represented here propose that planners for participatory nonformal education programs in intercultural settings need to give greater attention to the way in which planners and clients work together. They suggest that the process of programming in such situations is as important, if not more important, than the usual product. A successful process for programming becomes, in effect, a successful program. The study explores this hypothesis in greater depth and proposes some of its own challenges.

Although the challenges posed are relevant for people from "rich and "poor" nations alike, those confronting aspirant developers from the industrialized nations are given particular attention. Given the position of power from which industrial nations conduct their international relations, representatives of these nations often assume analogous roles as they attempt cooperative

programming in intercultural settings. Dichotomies resulting from this phenomenon arise throughout the discussion as do recommendations for dealing with them.

The material for this study is drawn from experiences with rural and urban nonformal education programs resulting from the collaboration of a United States university program (the Center for International Education) with various third world government and private agencies as well as with U.S. government and community agencies. Program participants had diverse cultural backgrounds. Initiation of projects came frequently from the United States Agency for International Development (AID), the major source of funds, and occasionally from third world organizations and other people outside the Center for International Education.

The purposes of this study are to present a definition of collaboration in nonformal participatory education; to identify the historical conditions from which it has emerged; to begin to explore its limitations and constraints; to suggest elements which characterize environments, agencies and personnel of successful collaborative programs; to define training needs; to suggest stages in the collaborative process and procedures for accomplishing them. In some cases procedures are offered which are tried and tested. In other cases tentative questions are offered as guides. In all cases, experience and ideas are presented to encourage debate, to promote further inquiry into the elements which promote or inhibit a mutually productive exchange of educational resources among nonformal educators and their clients.

These pages are a compilation of written documents, interviews, informal discussions and workshop proceedings collected, organized and articulated

so the ideas within them can be further refined. Ten years of CIE activity have been tapped, though not deeply enough. The energy of many people is represented here, but three, John Bing, Mary Fe Collantes, and David Kinsey have contributed substantially through written work, discussion, and editorial comments. Section VI, Stages in Collaborative Programming, is taken largely from an unpublished paper, "Issues in Collaborative Program Development: Constructs and Pictures," by David Kinsey.

To reiterate, this study is presented as an initial step in the development of collaborative programming theory and practice. The concluding section suggests vital areas for future research. We hope that this will serve as a "working paper" and heartily welcome the insights and criticisms of readers.

I

ORIGINS OF COLLABORATIVE PROGRAMMING

Global Interdependence and U.S. Foreign Aid

Collaboration in educational programming is a phenomenon arising from certain economic and social developments within society. Chief among these are economic factors which throughout history have promoted the current state of global interdependence, and which continue to define that interdependence with greater and greater clarity. On the one hand, industrialized nations export manufactured goods and technology and import raw materials. On the other hand, those nations attempting to industrialize export their raw materials and import manufactured goods and technology. It would appear to be a well-balanced system. Yet the World Bank, leading creditor among capitalist industrialized nations in dealing with low-income nations, has recently issued a "World Development Report, 1978" saying ". . . there will remain 600 million absolute poor by the year 2000, with 540 million of these in the low-income countries."[1] The attempt at increasing productivity by an influx of capital has not eliminated poverty, nor has it significantly improved the quality of life of the majority of people in the industrializing nations (i.e., the majority of the world's people). Even where industrializing countries have begun to manufacture for export, their manufactured goods meet crippling import restrictions on the world market. In fact, increased economic interaction between industrialized and industrializing nations has led to a ubiquitous dependency of the latter upon the former; ubiquitous because it has become institutionalized

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[1]David R. Francis, "World Bank: aid to world poor an immense task," (Christian Science Monitor, Aug. 16, 1978), p.11.

through trade agreements, foreign aid programs and an international elite power structure, both governmental and corporate. Such dependency even permeates culture when through the schools, media, and lifestyles of the elite, "western" values are transferred to and inappropriately adopted by the masses of propertyless poor.[2] The inevitable corollary of these economic and cultural conditions is the almost total lack of participation in local or national decision making by the majority of the population.

The realities of interdependence become clear when such conditions in industrializing nations affect the industrialized world in its search for cheap raw materials, cheap labor, a market for exports to assist the balance of payments, and, not least, national security. Cognizant of this mutually dependent condition, certain Western industrialized nations such as the United States have adjusted foreign aid policies in an attempt to promote stability, if not their particular brand of democracy. The ideology of "participation" has come, if not to replace, at least to complement the ideologies of communist containment and private enterprise which have previously defined U.S. foreign aid policy.

In 1966 the U.S. Congress passed a Foreign Assistance Act containing a provision known as Title IX which called upon the U.S. Agency for International Development (AID) to design programs

> . . .assuring maximum participation in the task of economic development on the part of the people of the developing countries, through the encouragement of democratic private and local government institutions.[3]

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[2]Mary Fe Collantes, "Towards a Comprehensive Program of Community Development" (unpublished comprehensive examination paper, Center for International Education, University of Massachusetts, April, 1978), p.5.

[3]David Hapgood, The Role of Popular Participation in Development, Report of a Conference on the Implementation of Title IX of the Foreign Assistance Act, June 24 - Aug. 2, 1968 (Cambridge, Mass.: Massachusetts Institute of Technology, 1969), p.3.

Seeking guidance in the implementation of this provision, AID requested the Center for International Studies of the Massachusetts Institute of Technology (MIT) to examine it extensively. The final report of that two-year study offered this, among other, interpretations:

> . . ."popular participation," . . . means that the people of the less developed nations should participate more than they do in decisions that affect their lives. . . . they should participate in the implementation of development and in the fruits of economic growth.
> . . . the goal of participation also requires the development of a wide variety of institutions at all social and political levels from the local community to the national center. . . . to enable people to articulate their demands effectively and . . .government to respond effectively to those demands. [4]

Development at the community level took on new proportions as national and non-governmental donors began to define development to include greater political involvement at the "grassroots." The MIT study concluded that "the United States now can well afford, through its public and private resources, to take greater risks." The study predicted that this "social risk capital," encouraging widened political and social participation might result in the "establishment of governments which may distrust America, or even in some instances align themselves against the U.S. . ." Yet, such developments were judged necessary if "significant progress is to be made in improving the quality of civic life in many of these countries."[5]

There was, then, a significant adjustment in U.S. aid policy moving from largely military considerations following World War II, to "purely" economic designs with the establishment of the Agency for International Development in 1962, on to promoting popular participation among the masses of people in "developing" countries. In describing this change in emphasis from

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[4] Ibid., pp. 1-2.

[5] Ibid., pp. 44-45.

economics to participation, the MIT study suggested:

> The time has therefore arrived for the U.S. to make more explicit its interest in broader strategies of development...Emphasis on economic development tends to stress certain presumed universal criteria and permits less capacity for accommodating to local conditions. (Emphasis added.)
> ...senior officials in AID, State and Congress must be prepared to accept the idea that among the underdeveloped nations there will be a multitude of patterns of development and that we cannot expect to urge upon them any single model for their course of political development. [6]

But U.S. Congressional acts, conferences, and academic reports alone do not explain this adjusting interpretation of "development." While Western aid policies have changed in response to increasing global economic interdependence, they have also had to take into account the emergence of certain countries such as China, Cuba, and Tanzania as leaders among industrializing nations. These countries, whose ideologies and practice stress self-reliance, have encouraged third world citizens themselves to support and work toward more local decision making and against imposition from above and from the outside.[7] Thus while these and other nations have risen as political leaders in the non-Western world, the United States and other industrialized countries have found it increasingly expedient to modify their approaches to maintaining their economic stability.

As we have seen, however, the real effects of these modifications bear close scrutiny. "The time has therefore arrived..." said the MIT report in 1969. Yet in a monograph entitled Responsive Educational Planning: Myth or Reality? published eleven years after passage of the Foreign Assistance Act, David Evans found it necessary to restate the case for participation.

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[6] David Hapgood, op.cit., pp. 60-62.

[7] Mary Fe Collantes, op. cit., p. 8.

He emphasized a more "interactive" planning process[8] among planners and client groups (the mass of the population) within one area or country:

> Effective rural development is seldom occurring unless there is extensive responsible participation by the people involved. . . Without (participation). . .disparities increase much faster than . . .growth. . .[9]

Participatory Nonformal Education

Along with changes in foreign aid policy and the definitions of development programs to include the participatory component came certain implications for educators. For example, the House Report on the Mutual Development and Cooperative Act of 1973 stipulated that alternative methods of education must be part of AID's approach to development:

> It has become clear that. . . the academic patterns of the developed countries are inappropriate in the developing countries. Those nations must develop low-cost, innovative systems of education to roll back illiteracy and provide their people with the requisite skills to participate in the process of development. The United States can assist the developing nations with designing and testing new educational systems and concepts aimed at reaching larger numbers of people at lower costs.[10]

The influence of such statements on AID funding could be seen as an increasing number of requests for proposals appeared stipulating inclusion of a component

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[8]Note the efforts of modern corporate enterprise to emphasize"interactive participatory planning." Drawing on behavioral science research, companies have embarked on reorganization and continuing education programs to spark initiative and company loyalty among employees, both white and blue collar. See John Bing, Unpublished doctoral dissertation, draft copy, Center for International Education, University of Massachusetts, 1977, p.10; also, Robert Schrank, "How to Relieve Worker Boredom,"Psychology Today (July 1978), pp. 79-80.

[9]David Evans, Responsive Educational Planning: Myth or Reality? (Paris: UNESCO, 1977), p. 50.

[10]U.S. House of Representatives, Report on the Mutual Development and Cooperative Act of 1973, House Report No. 93-388, q.in Center for International Education,"A Proposal for Support Under the Agency for International Development Institutional Grants Program"(unpublished grant proposal,University of Massachusetts, May 1974), p.3.

which would help "developing" countries to educate and involve their citizens in national affairs.

While members of the U.S. Congress were stating their perceptions of third world needs, educational institutions were busy refining their own perceptions of what was needed in educational programs for "development." Nonformal education, or "out-of-school" programs for adults, became a watchword among international educators for an alternative which could definitely reach "larger numbers of people at lower costs." The scope of this study is too narrow to permit discussion of the wide range of alternatives that comprises the field of nonformal education. Its concern is rather with that particular variant of nonformal education (NFE) which emphasizes learner-centered, participatory methods and which practitioners have found appropriate, to varying degrees, in meeting educational needs both in the U.S. and abroad.

Nonformal educators at the Center for International Education of the University of Massachusetts have defined nonformal education as:

> . . . a wide range of non-school activities whose major purpose is to promote in people around the world the development of skills, knowledge and behaviors which will enable them to improve their life situations.[11]

Since 1974 when that definition was written, the influence of participatory methods on the design, implementation, and evaluation of programs has grown.* Ideas from the work of Paulo Freire, Carl Rogers, Malcolm Knowles and Julius Nyerere have contributed to establishment of the theoretical foundations of participatory NFE. Freire's emphasis on the development of critical consciousness;

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[11]Center for International Education, "A Proposal for Support Under the Agency for International Development Institutional Grants Program,"(unpublished grant document, University of Massachusetts, May 1974), p.1.

* For an illustration of participatory elements of nonformal education, please see Appendix I, "Characteristics of Nonformal Education."

theories based on humanistic values emphasizing human potential, personal growth, and interpersonal communication espoused by Lawrence Kohlberg, Knowles and Rogers; theories of groupwork stressing cooperation and self-reliance within and among groups of people to gain more significant control over their daily lives -- all these and more have contributed to the concept of participatory nonformal education.

To summarize, the economic and social imbalances characterizing global interdependence and the force from citizens of industrializing nations to become self-reliant, to command respect in their interaction with industrialized nations, have motivated government planners and donors to fund participatory educational programs. The persistence of educational theory promoting human development and cooperation and the upgrading of adult education in practice of these theories have provided the motivation and methods for experimenting with participatory NFE.

The Development of Collaborative Programming in Participatory NFE

Analysis of this development requires a careful look at an interesting mix of ethical and practical issues. In a 1976 study, John Cohen and Norman Uphoff of the Cornell University Rural Development Committee said:

> While it has been understood that 'participation' in some senses is a requirement for successful development efforts, questions are now being raised about such participation . . .(for example). . . Participation on whose terms?[12] (Emphasis in original.)

Narrowing the focus from a global perspective to look at U.S. bilateral aid

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[12]Norman Uphoff and John Cohen, Rural Development Participation: Concepts for Measuring Participation for Project Design, Implementation and Evaluation (Ithaca: Cornell University, 1976), p.3.

programs, where this aid has supported educational "solutions" to poverty, benefits which have accrued have been accompanied by a fair number of disadvantages to the "clients." Local personnel have not been adequately trained; research data obtained by expatriate researchers has not been made available to local scholars; expatriate staff have received higher salaries than they might have received at home, and have gained practical experience and upgraded their skills at the expense of local personnel. When an outside agent from an industrialized nation is the donor, programs may come with methods, hardware and expatriate personnel to operate them already attached. The maintenance of such hardware can foster future indebtedness and create inappropriate dependencies for local educational planners. On whose terms, indeed, and for whose benefit are such programs conducted?

Individuals working in such programs consistently find themselves either in the role of "giver" or "receiver." People represent either the "developed" or the "developing" country. Such dichotomies further accentuate the traditional power relationships governing international cooperation, i.e., the "developed" person is always from the industrialized nations, the "developing" from the industrializing nation.[13] Even when people do not agree with such categorizations they find it difficult to interact outside their historically and culturally prescribed roles. Yet the contradictions within the situation cannot be ignored. The economic imbalance between actors persists in the face of participatory rhetoric. Nor can we ignore the somewhat ironic fact that the educational "needs" of industrializing nations create professional occupations for nonformal educators from industrial nations and for upper class

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[13]Fredi Munger, "Lessons from the Thai Site: Some Interfering Variables" (unpublished working paper, Center for International Education, University of Massachusetts, 1978), p.6.

people from the industrializing nations as well.

If industrialized nations are indeed investing "social risk capital"; if the primary goal of an educational system is "to assist the majority of citizens to participate meaningfully in the life of the nation. . . and manifestly NOT to prepare people for employment in the small modern sector of the economy. . ."[14] if educational programming involving people from rich and poor nations is to be more than "responsive paternalism",[15] is it possible to overcome the economic imbalance, scarce resources, and overriding self-interest that confront collaborative programmers? As practitioners endeavor to answer this question they have consistently met certain issues of which the following are representative:

Power relationships

The persistence of "donor - receiver" relationships perpetuates "inherent power antagonisms"[16] between collaborating agencies and among staff. Even given various assessment mechanisms and appropriate training (see sections IV, V and VI below) can such antagonisms, rooted in concrete technological and material differences, really be overcome to allow for mutual participation in decision making?

Time

How realistic is it to expect field staff whose parent agency is a national government or a far-distant bureaucracy to engage in a "humanistic, participatory process" with other staff and clients when the former may measure results in fiscal terms and the latter in

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[14]David Evans, op. cit., p. 49.

[15]William Smith, et. al., Discussion during Workshop on Collaboration in NFE, (Center for International Education, University of Massachusetts, April 17, 1978).

[16]David Evans, personal interview, Amherst, Mass., April 28, 1978.

human relationships, or when the parent agency may request politically sensitive action from staff?

3. Agents of change

If the goal of education is to transform systems rather than reform people [17] how do "outsiders" participating in a program deal with local government opposition to the program when, for instance, it is supported or proposed by a client group? If educators are committed to working through existing structures, do they work to change those structures? Whose definition of change will predominate?

Such issues have prompted some nonformal educators, on both sides of the economic fence, to continue to ask, "Participatory NFE on whose terms and for whose benefit?"

Supporters of the collaborative theory propose that if nonformal educational programs are to be truly participatory in decision making, implementation, and evaluation, balanced participation among programmers and clients must begin in the earliest stages of the project. The participatory mode in education implies relationships of mutual respect and responsibility among all actors. John Comings has identified four distinct categories in describing the nature of collaborative programming: philosophical, practical, pedagogical, and political. At the philosophical level, "each individual must be treated as if he or she has value and dignity." Mutual respect and confidence are conveyed not through a top-down administrative style but through a method of joint administration. From the practical point of view, collaborative programs emphasize the development and involvement of host country personnel. Local

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[17] William Smith, The Meaning of Consicentizacao: The Goal of Paulo Freire's Pedagogy (Amherst: Center for International Education, University of Massachusetts, 1976), p. 152.

personnel participate in the selection and maintenance of necessary technologies from the beginning. Where pedagogy is concerned, learning happens best when one takes action affecting one's daily life. Collaborative programs provide all participants the opportunity to learn through action. From a political perspective, true collaboration can change political power relationships, promoting self-reliance.[18]

This rationale is based upon certain assumptions: that global interdependence implies U.S. involvement in the third world development process; that U.S. involvement will assist the development process and not hinder it; that this involvement will promote a more equitable global balance (i.e., that aid does not have to perpetuate dependency); that imbalances among partners in collaborative programs can be mitigated; and that nonformal educators from industrialized nations have a role as agents of social change in the affairs of industrializing nations.[19]

Collaboration as a Factor Influencing Social Change

Based upon the preceding rationale and its underlying assumptions is the hypothesis that collaborative programming in education, and in other fields, can contribute to a more cooperative global environment. This hypothesis, however, must be considered in light of the history of international cooperation. Comparing certain of the 'characteristics of collaborative programming' later outlined in this study with the MIT recommendations to AID of ten years ago

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[18]John Comings, "Rationales for Collaboration in Development," q. in Bonnie Cain,"Issues in Collaborative Program Development: Extrapolations from a Workshop" (unpublished workshop paper, Center for International Education, University of Massachusetts, 1977), pp. 8-10.

[19]John Bing, personal interview, Amherst, Mass., April 5, 1978.

(please see Appendix II) leads one to conclude that the situation has not changed a great deal. Are current responses to the contradictory situations defined above different from those of Project Camelot days? If not, perhaps the hope of NFE planners is that the negative effects of the export of technology (in the form of nonformal educators, for example) may eventually be adjusted through efforts at cooperative programming.

Collaborative programming further contends that participants must and will ask themselves and each other early in the process of developing a joint educational program -- "On whose terms is this program established, and for whose benefit?" The essential corollary, given the variety of imbalances existing between "industrialized" and "industrializing" programmers, is that common terms and common benefits can be attained. Further, an underlying proposition states that there are mechanisms in collaborative programming which can help to mitigate these contradictions and imbalances. Collaborative programming requires specific skills and specific types of training. These elements are described in detail in subsequent pages. Most important, collaborative programming differs from other types of development programming primarily in that, from the outset, all involved are committed to a process.

This analysis of the origins of collaboration has attempted to look beyond appearances which might lead one to conlude that collaboration is simply the product of well-meaning people who believe in supporting human dignity first and foremost. This may well be part of it. But one should recall that this evolving process in human cooperation both emerges from and contains within it the contradictions of modern society. The widening gap between rich and poor existing side-by-side with egalitarian democratic rhetoric provides nonformal educators with significant problems; it also provides them with jobs.

Participants in this scenario act largely in their own (and their sponsor's) self-interest. If this is an inhibiting factor in the success of collaborative programs, as a later discussion on values suggests, continued attention to this analysis is essential.

II

COLLABORATION AS A PROCESS

Why Emphasize Process?

In addition to its role as facilitator of social change, collaboration is proposed as a potentially workable and valid process in any development program where people from diverse backgrounds are involved in an effort to enable themselves and others "to improve their life situations." To improve life situations people need to understand their own needs, constraints and desires; the needs, constraints and desires of those they work with; and potential commonalities among them. Collaborative programming purports to provide people with the time it takes to reach such understanding. It can be an educational experience for all involved as they learn to work together. This ability to work together develops as the program develops, acting on those who participate, developing their attitudes, skills and knowledge, creating an appropriate educational program.

What Are Some Major Constraints?

There are, no doubt, more constraints operating against successful collaborative programming than there are elements which foster it. The problems outlined in the first section of this study are prime examples. Issues discussed here, however, are more concerned with the structure of the actual program than with the political milieu.

Collaboration takes place to some degree whenever people come together to accomplish a task. Programs can benefit in varying degrees from more or less intensive use of collaborative mechanisms. No conclusions are drawn here regarding specific cases, but major "constraint areas" are delineated below with guide questions to help determine when and whether col-

laborative programming is more or less appropriate to the task and conditions.

Initiative	Is collaboration more or less appropriate in cases where: - an agency initiates a project without its own funding - the initiator of a project assumes major decision-making responsibilities
Funding	Is collaboration more or less appropriate in cases where: - project funding comes primarily from one of the collaborating parties - funding is equally derived from among collaborating parties - funding comes from a source other than a program participant
Decision Making	Is collaboration more or less appropriate in cases where: - bureaucratic control is to be exercised from long distance by "parent" agencies - a funding source exercises limitations on decision making - program stipulations have already been made by a sponsoring agency - an original agreement was not based on collaborative premises
Agencies	Is collaboration more or less appropriate in cases where: - an agency is religious, educational, governmental, or multi-national in nature - an agency has an identifiably uncollaborative style but is interested in cooperation
Size	Is collaboration more or less appropriate in cases where: - a large government bureaucracy is involved

- a conglomerate of community-level and government agencies is involved
- small, independent organizations work together

Client Involvement Is collaboration more or less appropriate in cases where:

- a client group initiates a program
- it is necessary to operate through a local agency to establish contact with a client group
- client groups are recipients of a pre-designed program

Time Is collaboration more or less appropriate in cases where:

- bureaucratic or funding constraints establish specific time-lines
- emphasis is placed on short-term rather than long-term goals
- a program is flexible with regard to degree of client participation

The identification of such constraints in international cooperative endeavors is not a new task. For historical background the reader may want to compare this listing of constraint areas and the problems outlined in the previous section with the "Host Country Situations and Strategies" chapter of the MIT conference report cited above. (See Appendix III). Such comparisons may yield insight into whether collaborative programming in nonformal education does or can really differ from other U.S. "development" work overseas.

What Are the Goals of Collaborative Programming?

Collaborative programmers should strive to create a growth-facilitating partnership, recognizing each others' strengths and weaknesses as differences and not as a basis for according more or less power in decision

making. They should strive to create an atmosphere for working together interdependently and cooperatively toward an agreed upon goal.[20] The overriding goals of any collaborative program are:

- to plan, implement and evaluate an appropriate educational program; and,
- to accomplish the preceding goal through a process that insures mutual participation, mutual respect and mutual benefits to the parties involved.[21]

As a process, collaborative programming is never static but always evolving. As a group of people begin the activities described here, the success of their program will be a function of the degree to which their individual and collective skills and understanding of collaboration develop through practice. Some practitioners have proposed that the essence of collaborative programming is "achieved collaboration"[22] -- determined by measuring how successfully a group of people has been able to work together cooperatively to accomplish a goal. In collaborative programming the process by which participants achieve their program goal should be part of that goal.

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[20]Third World Students, "Initial Reflections on Collaboration: A Statement of Concern "(unpublished workshop paper, Center for International Education, University of Massachusetts, April, 1978) p.1.

[21]Joel Momanyi and Gail von Hahmann, "A Brief History of NFE at Center for International Education"(unpublished workshop paper, Center for International Education,University of Massachusetts, April, 1978) p.8.

[22]David Kinsey, personal interview, Amherst, Mass., September 8, 1978.

III

CHARACTERISTICS OF COLLABORATIVE PROGRAMMING

Definition of Terms

Before specific characteristics and methods of collaborative programming can be discussed, the following terms require definition:

Collaboration	- to work together, to co-labor, to cooperate.
Participation	- involvement in decision making.
Agency	- private or governmental, involved in adult, nonformal educational programs. Can have international and/or intercultural staff.
Parent Agency	- same as above, and the agency to whom field staff report from the site of the program. A co-sponsor (nominal or financial) of the program.
Funding Agency	- that organization which provides funds for the program. Can be a parent agency; doesn't have to be. May or may not participate directly in the program. May share funding with other (parent or non-parent) agencies.
Client Group	- members of the local population directly affected by the project. Can be a parent agency.
Field Staff	- representatives of collaborating parent agencies. Physically present at project site(s).
Site Support Staff	- parent agency staff serving program but not working at the site of the program. Located with parent agency.
Participants	- agency personnel, field staff (including non-parent agency personnel), client group members.

For simplicity this study assumes two agencies, international and/or intercultural in membership, plus client groups, with the primary program activity occurring in the home area of one of the agencies and of the client group(s). These conditions are offered as a case to aid conceptualization, not as constraints implicit in the process.

The characteristics specific to collaborative programming described below include four areas: the environment, the agency, the program, and the values of people involved. These characteristics should be considered fairly optimal and as indicators against which programmers may measure their potential for successful collaborative programming.

The Environment

If the project involves collaboration across national boundaries a reasonable level of trust should exist between the governments of the nations involved.[23] This "reasonable" level implies that travel between countries is relatively unrestricted by law, that full or working diplomatic relations are established, and that transport and communication facilities exist. Further, even though two countries may mutually encourage trade and travel between them, a foreign policy position of one government expressed at an ideological level, such as President Carter's recent emphasis on human rights, can impose constraints on collaborative activities.[24] The level of trust between two countries can be influenced by variables at many levels and these should be examined carefully.

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[23]Kinsey, D.C. and John Bing, eds., "Nonformal Education in Ghana: A Project Report. Working Draft" (unpublished report, Center for International Education, University of Massachusetts, 1978) p. 43-44.

[24]Ibid., p.44.

In addition to international concerns, internal conditions of the country or area where the project is to be located should be examined. The host government's attitudes toward involvement with foreign government funding and toward involvement with nonformal participatory education projects should be assessed. Such an attitudinal or policy assessment is important in cases where collaborative programs involve nominal or financial sponsorship by one or both governments or by the nationals involved. In cases where governments are not directly involved, such assessments are still useful to planners. Since planners often have the least control over such environmental elements, a careful preliminary survey of these elements in light of an agency's specific program goals is essential.

A Collaborative Agency

Analysis of an agency's potential for successful collaborative programming includes concern for the agency's style as well as for its structure of operations. In terms of style, an ideal collaborative agency

- is involved in participatory educational programs;
- has identified a project or area of activity for which outside skills and resources are needed and wanted;
- is interested in developing or refining a mode of working together cooperatively with other agencies;
- has an already developed collaborative style within, or a strong commitment toward its development;
- is clear about the philosophy underlying its practice and has a philosophy which deals with the relationship between education, social change, and development;[25]

[25]Center for International Education, "A Proposal for Change" (unpublished seminar paper, University of Massachusetts, 1978) p.3.

- has members who are committed to developing or refining their own personal collaborative styles and are conscious of the philosophy of the agency; and,
- has means for assessment and upgrading of its members' skills.

In terms of structure, an ideal collaborative agency:

- is a private or semi-private institution;
- is small, or has capacity for small groupwork;
- is stable and likely to have long-run impact;
- has an already functioning project appropriate to collaborative programming;
- has trained staff available to work as counterparts with outside staff;
- has access to other local professionals or appropriately skilled people who could be helpful in the project;
- has experience in adult nonformal education;
- has experience with local socio-political structures;
- has appropriate logistical supports and language resources;
- accepts outside (external government or non-governmental organization) funding;
- has working contacts with grassroots and national political structures; and,
- has established connections with the client group.

The Client-Centered Program

Collaborative educational programming is unique among educational planning models in that it intends that client groups will be involved at all stages of the venture, from needs assessment through research, planning and

materials development to evaluation. Collaborative programs also stress the involvement of members of the client group in decision making at each of these stages. The essence of these programs lies in the interaction and mutual learning that takes place among field staff and client participants. This mutual learning process, agency and client counterparts moving through each phase and task together, forms the bedrock of collaborative programming.

Hence, the collaborative program:

- involves client participation in research,[26] planning, design, materials development, training and evaluation;
- emphasizes training of client group to build local competence;
- uses participatory educational methods (games, simulations, role-plays, group-oriented, learner-centered, experiential activities);
- develops learning materials using locally available resources and technology;
- can help channel funds and other resources to client groups so that they may later obtain such resources on their own;
- helps provide the client group with a positive, empowering, participatory experience;[27]
- can work through, and when necessary around, the local power elite.

Flexibility and responsiveness to the changing needs of client groups are very special aspects of the collaborative program. Such responsiveness can result in totally unforeseen yet highly successful "spin off" projects

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[26]For a discussion of the participatory mode in research see Budd Hall, "Participatory Research: An Approach for Change," Convergence, Vol. III, No.3, Toronto: 1976.

[27]Suzanne Kindervatter, personal inteview. Amherst, Mass., May 15, 1978.

such as the "wayside mechanics" project which evolved from a larger nonformal education program in Ghana.[28] Flexibility is often enhanced when projects are small, or when they involve small working groups. Furthermore, allowing for projects to evolve from client needs (rather than solely from agencies' plans) may limit the replicabiltiy of specific collaborative programs. This is because emphasis is placed on a development process for nonformal education which can be applied in different localities, rather than on transferring specific techniques and materials.[29] The process of collaborative programming can be replicated for meeting different educational needs within the same community as well as similar educational needs in different communities.

Value Characteristics of Field Staff and Agencies

Throughout these pages there is frequent emphasis on the attitudes and values underlying the practice of collaborative educational programming. Participants whose experiences and opinions are recorded in this study support the position that such values need to be stated clearly by collaborating parties. In an age where educators speak of methods of "consciousness raising" and theories of "critical consciousness", collaborative educators cannot simply assume that their values are congruent with those of other participants or with program goals. The values expressed here in support of collaboration may be held by only a small "sub-group" of international professionals.[30] Consequently, the importance of stating one's values, measuring the congruence between agencies' values, and assessing the fit between each agency's values and its own practice, cannot be overstressed. As important as the place of values

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[28] See Steve McLaughlin's discussion in D.C.Kinsey and John Bing, op.cit., pp. 16 - 22.

[29] Nana Seshibe and John Bing, "Ghana Site: Assumptions for Collaboration" (unpublished workshop paper, Center for International Education, University of Massachusetts, 1978) p.2.

[30] Horace Reed, personal interview. Amherst, Mass., September 15, 1978.

in collaborative programming is awareness that these values can be translated into skills. A later section describes training for these skills.

Five major categories of values have been established to help assess the value characterisitcs of an agency and its staff: interdependence, cooperation, respect, choice, and communication.

Interdependence:

This implies participants agree they live in a world of limited resources and that the mutual sharing and development of those resources is an accepted, necessary, positive aspect of modern existence with direct implications for nonformal education programs using international staff, material and funds.

Cooperation:

Participants agree working together (rather than independently or in competition) is the best way to accomplish the goal. Since they have come together, each with needs to be met, not only does each group have nothing to lose from the collaboration but a substantial amount to contribute and to gain. Participants value the process of creating a mutual set of goals from their various needs which can then be worked at together. They agree that to share power, as well as responsibility and benefits, is essential. Participants value cooperative decision making, are aware of each others' cultural and individual styles, and are willing to adapt their own. They value being with others, recognizing that learning with and from people requires knowing them and that knowing them takes time.

Respect:

Collaborative participants have respect for themselves and for each other. In respecting each other, they appreciate the uniqueness of the cultures represented and their capacity to enrich and to be enriched by

interaction.[31] This implies respect for individual differences as well, for example in the perception of time - is it a limited commodity with a rising cost or an abundant resource? Participants acknowledge their own strengths and weaknesses and respect those of others, or in the words of one practitioner, recognize that each "one brings resources, wisdom, needs and ignorance" to the project.[32] Respecting each others' needs, participants recognize that each comes to learn, to exchange skills, and information in "horizontal" fashion, rather than through a vertical hierarchy.[33]

Self-respect implies participants are willing to adapt personal styles to others' needs and to the needs of the project, i.e., the "haves" can be vulnerable and the "have-nots" can both possess and display self-esteem.[34] Self-respect is conveyed through strong interpersonal communications skills. Some have suggested that the working relationships generated through collaboration, when characterized by the growth of self-respect and respect for others, can become friendships.[35]

Choice:

The freedom to choose what and how one will learn is the primal seed from which collaborative participatory programs spring. This value implies that program members agree participatory methods are the most appropriate for this project. It implies that participatory education is a liberating

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[31]Third World Students, op.cit., p. 3.

[32]Fredi Munger, op.cit., p.6

[33]Julio Ramirez de Arellano, personal interview. Amherst, Mass., April 20, 1978.

[34]Elvyn Jones, "Self-Esteem and Vulnerability as Variables in the Collaborative Model" (unpublished workshop paper, Center for International Education, University of Massachusetts, 1977) pp. 3-4.

[35]Jane Vella, personal interview. Amherst, Mass., April 22, 1978.

process wherein the trainer's function is to pose questions, not give answers. Participants value this function and their position as learners (as opposed to one of experts or collectors of information).

Communication:

To value communication means to recognize the honesty and integrity required in collaboration.[36] It also implies the patience to listen, the diligence to explain, and the desire to accept and offer criticism. To value communication is to appreciate the care and maintenance such communication requires throughout the life of a project.

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[36]Horace Reed, "Model for Analyzing Field Site Collaboration Efforts" (unpublished workshop paper, Center for International Education, University of Massachusetts, 1978)p.1.

IV

TRAINING FOR COLLABORATIVE PROGRAM STAFF

Competency areas in which collaborative educational programs require skilled personnel are not unlike those required for other educational programs. They include administration, needs assessment, program design, evaluation, materials and curriculum development, training and groupwork. However, both the content of some of these competency areas and the process by which training is accomplished can include significant departures from traditional training designs.

Rationale for Training in Collaborative Programming

The basic intent of nonformal participatory education is to involve people in programs of self-learning through which they can develop the skills, knowledge and behaviors which will enable them to improve their life situations. This is, in part, what training for practitioners seeks to do. This kind of training presupposes that field staff, whether from "developed" or "developing" countries, can benefit from "programs of self-learning" that involve training in critical thinking, values clarification, and communication. It further presupposes that field staff are best equipped to work with each other and with members of a client group when they have experienced this kind of education. After developing appropriate skills themselves, practitioners are ready to transfer them to others, that is, to the "client group."

Until recently, educational theories which speak of education for liberation and the development of critical consciousness [37] have been used

[37] For a detailed analysis of the relation between these theories and nonformal education, see William Smith, op.cit., and Adam Curle, Education for Liberation,(John Wiley and Sons, 1973).

to design programs for other people, for the "client group" as it were. Experience shows that field staff of collaborative programs, be they from industrial or industrializing countries, benefit from experiencing this type of education themselves, before they attempt to lead others through it. Thus, training for field staff is a variant of that which they propose for the client group.

Translating Values into Skills

The basic content or skill areas emphasized in training for collaboration correlate directly with the value categories outlined above.

Value	Corresponding Skills
Interdependence	Structural analysis: Participants should be able to articulate and debate the phenomenon of first world - third world contradictions from an understanding of the various theories of development.
Cooperation	Groupwork: Program personnel should have experience in consensus decision making, in shared leadership and in group feedback processes.
	Facilitation: Knowing various methods of "intervention" is essential for field staff interaction both with each other and with the client group.[38]

[38]Arlen Etling, Collaboration for Materials Development (Amherst: Center for International Education, 1977), pp. 13 - 16.

Respect	Cultural Adaptation: Field Staff must be adept at "sorting out meaning" in a new culture,[39] adapting their skills and life styles, and living with ambiguity, e.g., the varying interpretations of time limits among parent agencies, field staff and clients. Field staff who are "outsiders" must know how to avoid the "expert role."[40]
	Values Clarification: Participants must be aware of their own stereotyping process and the element of choice (therefore the possibility of change) within it. They should be skilled at clarifiying values through question posing.
Choice	Problem Solving: Program personnel must have experience in problem solving and goal setting within a group, recognizing that it's more than "just sitting around talking."
	Question posing: All participants should be familiar with the facilitation and practice of this facet of critical consciousness.

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[39]Anne Janeway and T. Gochenour, "Seven Concepts in Crosscultural Interaction," in Don Batchelder and Elizabeth Warner, eds., Beyond Experience: The Experiential Approach to Crosscultural Education (Brattleboro: Experiment Press, 1977), pp. 15-21.

[40]Arlen Etling, Op. cit., pp. 18-21.

Communication

Creating Support Systems: Field staff must know how to create and sustain support mechanisms locally, and over long distance with site support staff.

Evaluation: Self-assessment of skills as well as of program progress and the collaborative effort as a whole is essential.

Training Methods

The best methods for training field staff are those which field staff will use in training members of the client group. Simulations, role plays, case studies and other techniques appropriate to nonformal education will give potential field staff the opportunity to design their own learning situations much as they will assist client groups in doing. Examples of these methods can be found in Suzanne Kindervatter, Learner-Centered Training for Learner-Centered Programs.[41]

In her description of a learner-centered training program carried out in Indonesia and later recreated in Thailand, Kindervatter offers these common characteristics of learner-centered approaches:

- content and objectives based on learners' needs and presented from the learner's perspective;
- methods which catalyze active participation and interaction of learners rather than passive information gathering;
- materials that provoke and pose problems, rather than provide answers;
- teachers who are not teachers, but facilitators; and,

[41] Suzanne Kindervatter, Learner-Centered Training for Learner-Centered Programs (Amherst, Mass.: Center for International Education, University of Massachusetts, 1977) pp. 28-40 and 46-68.

- learning which is not only cognitive, but also leads to new awarenesses and behaviors in the learners' lives.[42]

Field staff involved in collaborative educational programs need to experience this kind of training if they are to participate knowingly in a project based upon participatory premises. In a chapter entitled "Making it Work," Kindervatter lists suggestions which she has found can make a learner-centered approach work at the client group level. At the top of the list she recommends: "Select a facilitator or co-facilitators with a thorough understanding of a learner-centered approach to coordinate" the training of the client group.[43] (Emphasis added.)

The Raising of Consciousness

An essential part of any educational philosophy which emphasizes affective learning and heightened awareness of one's behavior is the understanding that to change or "raise" consciousness is a part of the learning-training process. Perhaps the most well known recent discussion of consciousness raising is the work of Paulo Freire. While analyses of this work usually involve its application to the urban and rural poor, some are proposing that his principles may be applicable in training for practitioners of collaborative NFE, particularly those from industrialized countries.

To raise consciousness is to increase awareness or knowledge of one's own or others' behavior as well as awareness or knowledge of general phenomena (e.g., global economics). It is also to increase one's awareness or knowledge of the attitudes (and values) which motivate one's own or others' behavior.

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[42] Ibid., pp. 3-4.

[43] Ibid., p. 43.

Finally, to raise consciousness is to bring about an understanding that one can choose to change one's attitudes, values, and subsequent behavior and, as a result, can consciously effect a change in such "general phenomena" as local, national or global affairs or in the quality of one's own and others' lives. Some have said, for example, that collaborative programming in nonformal education is an effort to turn consistent U.S. aid policy away from supporting only those regimes which espouse liberal capitalist values; or that it is an effort to help create democratic mechanisms as well as an awareness and practice of them by the world's oppressed people. Whether or not such purposes are generally accepted, people involved in nonformal education emphasizing participation need to be clear about themselves as change agents, about their role within an already inequitable global political and economic structure, and about their analysis of that structure, what changes are needed and through what methods change can be accomplished.

A vital purpose in the training described is to provide participants with practice in recognizing the element of choice in their thought and behavior. "Awareness" cannot be programmed to occur, however, at any particular time. It is dependent upon the particular timing of the individual. Experienced trainers generally accept that such conscious exercise of choice in thinking and behavior does not begin until such training has been given life through action in the "real world." It is this repetition of experiences, accompanied by the trainee's effort to be conscious of the attitudes and behaviors she or he may be trying to change, that fulfills or enhances the raising of consciousness which begins during training.

However, the precise definition of training for collaborative programming is of little use unless field staff are motivated to participate in and

unless they trust in the process. The following questions may help to determine a potential participant's awareness before, during and after training:

- What is your concept of effective relationships in development programs?
- What role does, or should, power play in collaborative programming?
- Are you willing to work at changing your own and others' attitudes and behavior if appropriate?
- Do you require socio-economic and psychological rewards for such changes?
- How do you use your will? Are you interested in exploring further the exercise of the will?
- Whose interests concern you most? Whose interests is it possible for you to serve?[45]

To summarize, the preceding discussion implies that:

- Collaboration requires a certain consciousness on the part of participants.
- Field staff must be exposed to the elements of this consciousness and be skilled in raising their own consciousness as well as in assisting others to raise theirs.
- A collaborative process can facilitate the raising of consciousness in participants.

The necessity for such training cannot be overemphasized. It is the inevitable link connecting the theory of collaborative educational programming with its practice.

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[45] David Kinsey, "Issues in Collaborative Program Development: Some Constructs and Pictures"(unpublished workshop paper, Center for International Education, University of Massachusetts, 1977)pp. 4-5.

V

STAGES IN COLLABORATIVE PROGRAMMING[46]

The stages described here are not necessarily chronological or linear. They overlap, are repeated, and can be reversed in order. The focus here is on the purpose of the stage, not its form. Problems which often characterize these stages are discussed. Suggested methods for confronting these problems are described.

The Exploration Stage

Initially contact is made between two agencies to explore the possibilities for working together on a project in one or the other agency's location. Primary attention is given to assessing the potential for working together based upon six criteria. For each of the criteria mentioned below a method is suggested for use by the two agencies (separately and together) during this stage to measure their potential for collaborating with each other.

First, each agency must define its self-interest and be able and willing to explain it to the other agency. Second, each agency must be able to select a goal which it values and desires to work towards. The point then is for both agencies to be able to see the possibility that their interests and goals can be merged. Third, there must be mutual benefit from collaboration and each agency must be able to see the benefits which it and the other agency will get. Fourth, each agency must recognize that collaboration can take place at different levels within an organization or among disparate groups and there are a number of variables influencing the

[46] This entire chapter is an edited version of David Kinsey's unpublished workshop paper, "Issues in Collaborative Program Development: Some Constructs and Pictures," cited above. Contributions from other sources are referenced.

degree to which sharing can take place at these levels. Fifth, each agency must come with a clear notion of the resources (human and material) which it has and which it needs. Agencies need to recognize how the possession or lack of these resources will affect the balance of participation between them. Sixth, the type of agreement proposed should be considered in all of its ramifications.

Each method is described by a list of assumptions implicit in its use, a graphic illustration, and procedures for clarification.

Assessing Self-Interest and Common Goals[47]

Assumptions: An agency involved in collaborative nonformal educational programming bases its practice on certain values and cognitive beliefs. These values are articulated by the agency and are "visible" through its practice. The following questions will enable an agency to measure its own adherence to stated values and, in turn, to estimate the congruence between its values and practice and those of a potential partner agency. The procedures proposed here can be used to analyze adherence to values within the separate participating groups before, during and after the project. They can also help assess interaction among groups during the project. The value categories listed here have been defined above: interdependence, cooperation, respect, choice and communication.

Procedure:

Step 1: Analyze each agency's belief system through questions and observation. Estimate the degree of correspondence of each system to the five

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[47] Horace Reed, Op. cit., pp. 1-2.

value categories. Some sample questions to consider are:

Do staff work cooperatively?
Are staff relationships hierarchical?
Is interaction among staff relaxed?
Is decision making participatory, based on consensus, on voting?
Does agency have a forum for discussion of internal issues?
Do members discuss values readily?
Do members discuss political issues surrounding projects?
What mechanisms are there for staff development and skills assessment?

How is the agency affected by its funding sources?
What is the nature of agency leadership?
Who is ultimately accountable for agency programs, activities?
How are projects generated?

Step 2: Estimate the areas and degrees of agreement between results for each agency.

Step 3: Estimate the degree of correspondence between each agency's values and its daily practice "at home."

Step 4: Estimate the areas and degrees of agreement between agencies from results of the assessment of "values in practice" above.

Step 5: From estimates made in #2 and #4, identify

a. possible problems that may arise in collaboration
b. activities that might be least and/or most likely to succeed
c. whether more or less time is needed at early negotiation stages
d. possible ways to deal with problems that arise

(Please see Figure 1: Value Characteristics of Collaboration.)

Measuring Potential Benefits

Assumptions: Collaborative programming implies that participants receive, at the least, some minimum benefit. Optimally, benefits to each participant should be proportionate in value although they may be different in type. Each participant is the best judge of the value of such benefits to him or herself, as each agency is the best judge for itself. Benefits have

both individual and collective (that is, institutional, societal) dimensions (see Figure 2: Motivation/Benefit Cycle). In addition to this dual dimension participants' awareness of the unique potential of collaborative programming has a positive effect on participant motivation.

Procedure: What is the relationship between individual and collective benefits in striving for balance among parties? Can a program be considered collaborative if on one side benefits accrue to only a few individuals without significant benefit to their collective group? How specific do we need to be about benefits at this stage? Who should identify the benefits and assess their value? How can an awareness of these benefits be used in program development?

Varying Levels/Degrees of Collaboration

Assumptions:[48] Planners should have a way to analyze potential interaction among the variety of possible actors, both institutional and individual, in one collaborative program. Figure 3, Levels and Degrees of Collaboration, shows five variations of relationships between collaborating agencies and client groups. The various ways in which insiders and outsiders come into contact during a project will affect both participants' initiative and the nature of relationships.

Procedure: What is the effect on collaboration if the project is initiated from the outside; from the inside? How is the project affected

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[48] In this discussion the terms "outside" and "inside" are employed. "Outside" can mean funding agents or other organizations which are foreign, international or not of the local area. "Inside" can mean funding sources (for example, the government treasury), agencies (a ministry, a development or educational agency) and communities within the local area. It is possible to view local parties themselves as divided between insiders and outsiders, as well as in vertical hierarchies.

by strength or weakness in 'lines of relationship' (see Fig. 3) between participants? For instance, how does the local agency's role differ from Case A to Case D? This method of analyzing varying degrees of collaboration is especially helpful when a clear pattern of relationships is not evident, for example when funding comes from both inside and outside agencies.[49]

Balance of Participation

Assumptions: Three major variables determine this balance: the source(s) of funding for the project, who initiates the project, and the human and material resources brought to the project by each participant. A fourth variable, administrative control, will also affect this balance in projects where an administrative style or control mechanism is pre-established (for example, if a parent agency defines the structure within which collaborating parties are obliged to work). Given these variables, the level of participation by each agency and client group can range from very low to very high. The ideal is to achieve symmetrical, balanced participation among all parties.

Procedure: One way to assess this balance is according to the following "Range of Participation." It is arranged in two levels because typically there are such distinctions between outside and inside participants. However, these terminologies are used for example only. Either range can apply to any party.

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[49]For examples of varying degrees and levels of collaboration in actual projects see Bonnie Cain, "Issues in Collaborative Program Development: Extrapolations from a Workshop"(unpublished workshop paper, Center for International Education, University of Massachusetts, 1977), pp. 21-23.

Range of Participation

		RANGE
PARTY	Outside:	Controlling. . . .Initiating. . .Supporting. . .Responding
	Inside:	Resisting. . . . .Going along. . Suggesting. . .Initiating

Ideally, all participants, whether from outside or inside the area of project implementation will move freely back and forth on both ranges depending upon the situation. Each party may have to lower its profile in order for others to raise theirs, allowing for a fluctuating balance of participation which is probably the natural state in collaborative programming. In order to assess or monitor parties' levels of participation during different phases of the project, the guide illustrated in Figure 4 is helpful.

If overall balance is not feasible, in what phases of the project is balance likely to be most (or least) symmetrical? When it is least symmetrical where will each participant be on the "range?" The following factors are proposed as balancing influences on traditionally asymmetrical participation in international programs and are significant to the training process described above: a philosophy or ideology which values shared control; a concept of the types of relationships between participants which can result from such an ideology; perceptions and feelings of what is possible in such relationships; socio-economic and psychological rewards for altering behavior; the use of the will by individuals.

Establishing the Program

Once agencies and client groups are satisfied with the potential for collaboration, the primary issues are the type of agreement to be entered, and overall goals for the project.

Type of Agreement

Assumptions: A contract is any understanding of who is going to give and receive what. This understanding may be between any two or all of the participants (ideally among all). The contract may be explicit or implicit; may be established before starting, after initial project development, or as a mid-course correction; may be a statement of intent, of general terms, or of specific provisions and targets. The nature of the contract will, in most cases, depend largely on the primary funding source and its contractual requirements, especially if it is a national government or a transnational organization. Figure 5 illustrates some possible variations.

Procedure: If a formal contract is to be used, how soon should it be negotiated? When should a formal contract be used and when is it not helpful? Between or among whom (at what levels) should such agreements be made? When is it necessary to be specific about project details? Implications of these contractual variations are carefully considered during this stage.

Setting Overall Goals

Assumptions: When objectives are set, the different agenda of both agencies and client groups become reconciled and merge into a new identity, creating a working unit derived, yet distinct from, the parent organizations. To achieve this reconciliation those involved need to be clear about their own and their agency's agenda, making this agenda clear to the other parties. A reassessment of the self-interest defined in the exploration stage is important. Project goals emphasize a cooperative process and this emphasis is maintained as much as possible through unanticipated events.

Procedure: Can a program be collaborative if one agency sets goals and other parties agree to those goals? Is a program collaborative only if all parties participate equally in goal setting? What is the relationship between goal-setting and decision-making procedures which parties will adopt? How flexible can or should overall goals be?

Evaluating the Project

Evaluation in collaborative programming begins at the start of the planning process. Formative procedures are valued over summative. One practitioner has suggested that the essence of collaboration is "maintaining a dialogue between theory and practice."[50] Evaluation is the mechanism through which this can be done.

Assumptions: Collaborative practice can be developed or eroded in the course of a program. Evaluation promotes the development of collaborative relationships and helps to prevent or correct their erosion. Evaluation mechanisms should be formative, oriented towards improvement, asking: how much collaboration is there and in what areas? What factors are producing more or less collaboration and how can they be amplified or curtailed? Results of formative questioning should be sent to parent agencies according to an agreed upon schedule.

If evaluation follows collaborative principles, it is internal, performed by participants in the project. This procedure promotes responsibility among participants, helping them see ways to monitor the project. Local staff and clients are left with new techniques and encouraged to

[50]Peter Hackett, Workshop discussion, Center for International Education, Amherst, Mass., April 17, 1978.

develop their own as well. Participant evaluation is integral to staff training and development occurring in collaborative programming.

Evaluation procedures are simple and cost-efficient. Positive accomplishments are stressed first, then negative or problem elements. Evaluation is viewed as a positive process for growth rather than a test or an opportunity for negative criticism. It provides a clear link between analysis and action, theory and practice. Thus, formative questioning and periodic reassessment very often result in mid-course correction and the establishment of interim goals, or at least a reordering of priorities. This evaluative technique has obvious implications for decision-making procedures. It is, in fact, an integral part of the whole programming process. Figure 6 describes possible variations in evaluation procedures.

Procedure: Is it desirable or feasible for all parties to be involved in a given type of evaluation? If not, which parties should be involved and to what extent? If an evaluation team is composed of representatives of agency and client groups how can it be assured they are representative enough? How important or feasible is it to have the same people who evaluate continue on to design or implement new activities based on their evaluation? Can an outside evaluator be used without upsetting collaborative relationships? How, when, and what are the benefits and costs?

Establishing Collaborative Procedures

Procedures for day-to-day operation of the collaborative process are consistent yet flexible with respect to the needs of participants. Therefore, the discussion which follows does not list rigid rules but highlights guides for the process. It emphasizes factors which have strongest impact on cooperative human relationships in NFE programming.

The Learning/Acquainting Period[51]

Chronologically, this "learning period" is one of the earliest planning activities. It includes letters, telephone calls, and personal visits by agency representatives. An exchange of personnel between agencies for a few weeks or months prior to contract negotiation is highly recommended. During this exchange a representative of the outside agency visits the project area to assess the appropriateness of the site for his or her agency's needs. In turn, a representative from the agency in the country of project location visits the outside agency to assess its appropriateness. This stage is flexible enough to allow both agencies' representatives to explore alternative agencies with which they might work. It allows a mutual interviewing process, based not on competition, but on the potential which exists for positive cooperative programming between the agencies.

In addition to the question of which agencies can work well together, this initial communication explores the nature and needs of the client group. Just as collaborating agencies need a period of simultaneous assessment, so also do agencies and client groups. If the local agency has an already established program with a client group, this stage is less complex. However, if both agencies are seeking a new client group this search must begin early so that the client group may participate as soon as possible in the design of the program. Similarly, if a client group initiates a project, collaborating agencies should be involved early in the planning process. A neutral party

[51]This discussion is taken largely from Donald F. Ross, Jr., "Latin American Experience of the Two Site Grant (Guatemala) and James McTaggart, "Collaboration Between a U.S. Education Development Program and an Indigenous Educational Development Program in the Republic of Honduras "(both unpublished workshop papers, Center for International Education, University of Massachusetts, 1978).

might serve as an envoy between agencies and client groups to assist this search. Such a role may also be established initially between two agencies.

During this stage it is important that:

- each group (agency and client) have a positive image of the other;
- willingness to trust characterize these interactions;
- actors take time to be with each other, appreciating each others' concepts of, and behaviors related to time;
- each group (including the local pool of people not directly affiliated with either agency) establish credibility with the others as resources are assessed.

Keeping goals, objectives, and attitudes clear in these exploratory discussions is an important skill since the nature of the entire project is affected by these early interactions.

Communications

With parent agencies: "Achievement of successful cooperation and collaboration between the Site Team and the home base support group requires extensive effort, careful communication, and mutual understanding."[52] Frequent and periodic exchange of information takes place between field staff and parent agencies. Budgets allow for regular correspondence, cables and telephone calls, and occasional visits from and to the site.

Among field staff and clients: Mechanisms are established and maintained through constant monitoring by specific individuals and by the group. Aside from regular meetings for all personnel, systems for reporting by individuals and working groups are as open as possible. All personnel

[52]Nonformal Education Program, Summary Report: 1974/78 (Amherst: Center for International Education, University of Massachusetts, 1978), p.33.

understand from the beginning what information is accessible and which decisions they will affect.

Decision Making

Decision-making procedures in the field depend largely upon the degree of autonomy field staff and clients have with respect to parent organizations. Possibilities range from all staff of client groups and agencies working for one parent agency, to all parent agencies being involved directly in decisions, to complete autonomy for field staff, perhaps the most desired state. For parent agencies to agree to such autonomy usually requires an equal number of staff from agency and client groups. It also implies that field staff have channels of influence that are a product of their mutual agreement, understanding and engineering with the parent agency in order to ensure respect for and compliance with decisions made in the field.[53] Autonomy implies a high level of accountability for field staff. Both the parent agency's organizational style and the nature of the project will influence the degree of field staff autonomy. Field staff and parent agencies need to agree at the outset on the degree of autonomy and the likelihood of its increasing or decreasing as the project continues.

Decision-making options among field staff include variations of consensus; dialogue, with accountability dependent upon individual staff responsibilities; and majority vote. It is possible that any or all of these styles might be necessary at different times and for different types of decisions throughout the program. Agreement on a preferred decision-making

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[53] Fredi Munger, Op.cit., p.6

style and commitment to this form are advisable at this early stage in working together. Decision-making style will also depend upon the ways in which field staff and clients interact as a group and whether hierarchic or shared leadership is the norm. The range of possibilities is obvious - from a director who makes decisions to a totally shared leadership. Whatever the style, preferences and commitments to a common style should be stated in the beginning.

Anticipation of procedures for conflict resolution and crisis intervention is essential. Seven potential crisis areas which field staff might discuss, simulate, or role play for practice in conflict resolution and general decision making as they get to know each other include the following:

- additional resources are required to continue the project or aspects of it;
- activity must be suspended on the project or aspects of it;
- differences develop over program goals, objectives, perspectives, operating procedures;
- interpersonal, intercultural conflicts develop; linguistic differences cause miscommunication;
- unsatisfactory relationship with the client population develops;
- disagreements between parent agencies arise;
- local, national or international political constraints arise.

The Special Nature of the Field Staff

Composition: The field staff forms a temporary organization or unit created for the life of the project and composed of staff from each agency and client group. It is flexible and responsive to the needs of its membership and the overall project. Its composition may vary over time due

to shifts in agency personnel or changes in client representation. And with these shifts, "established" procedures must be expected to shift as well. Field staff will constantly be a part of a larger bureaucratic superstructure, even if they exercise a high degree of autonomy. As a unit they must agree on the limits of their freedom of choice in project matters. They will often exist as a unique collection of people outside any regular category of organization. In such cases, staff should have strategies for eliciting support from the local government for technical, logistic and political problems.[54]

Agencies and possibly client groups may find it necessary to implement special staff selection procedures. Field staff will be composed partly, if not entirely, of representatives of the parent agencies. Often, however, the skills of professionals from outside the parent agency are desired. Staffing requirements may also include persons who will operate as liaisons between the field and the parent organization. Those involved in staff selection must agree on selection criteria, on basic job descriptions and on selection procedures. The primary difficulty in staff selection is usually the speed with which selections must be made to meet project schedules. The value characterisitcs described above play a significant role in these selections as well.

Both the balance of participation and the decision-making process are affected by the composition of staff. An ideal staff would include equal numbers of agency representatives, client representatives and outside professionals. Balance among cultures and nationalities is also an important factor.

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[54] Ibid., p. 10.

Salaries: Variations in salary levels among collaborative project staff can have significant impact on the success of a project, particularly if staff come from countries or areas of widely differing income levels. If salary levels in the area where the project is located tend to be low relative to international scales, adjustment of project salaries to local standards should be considered. In this way, ill-feeling among local professionals may be avoided. Salary levels depend also on the overall project budget and on funding agency stipulations. Whether project pay scales are high or low relative to local and international scales, all staff might be paid according to the same scale. Such an approach avoids the implication that those from higher wage areas are experts and therefore worth more. The reverse implication, that staff from lower wage areas are less skilled or less valuable, is also essential to avoid. A common salary scale might be based on a formula for the minimum cost of living estimates for local professionals. Depending upon the flexibility of the staff and the project, other arrangements might be possible, e.g., all staff earning the same amount, as in a collective.

Staff development: The nature of collaborative programming is such that working together during the program becomes training for those involved. Representatives from each of the parent agencies as well as from client groups can be responsible for monitoring staff development, assisting field staff to be aware of what they are learning as they perform daily tasks during periodic training sessions.

Implementing the Program

The client group plays the primary role in implementation and evaluation of collaborative projects in participatory nonformal education. Ideally, client groups are involved in all aspects of programming. But

client participation assumes its primary role during these two phases. Members of the client group join field staff in identifying problems to be addressed, developing and sequencing program activities, creating educational materials and curricula, and acquiring training skills. Collaboration implies symmetrical participation making a high level of client involvement an implicit goal.

Two final points regarding problem identification and timing deserve attention. Problem identification should be a flexible process which recognizes the possibility of working on more than one problem at once (for example, nutrition and clean water). This is especially important if differences of opinion on the major problem arise among participants. To reiterate, time, and one's perception of it, deserve particular attention. For example, a villager might ask "How long will it take for us to accomplish our goals?" while a U.S. staff member inquires "How much time do we have for this project?" Awareness and reconciliation of these approaches are necessary for a successful project.

To reiterate, these stages do not necessarily follow upon each other in linear progression. Many of the activities continue throughout the project -- the "learning period" never ends; evaluation begins with the first staff meeting; some potential benefits identified in the exploration stage become old hat, while unanticipated benefits spring from a crisis. What remains constant is the attention of all participants to mechanisms allowing them to listen to each other, to remain flexible, and to be creative. Truly collaborative programming, working together to share equally in all tasks, is still a new area and developing appropriate mechanisms is not easy. It is a task lasting for the life of the project.

A CONTINUING INQUIRY

From the comments of those who read earlier drafts of this paper, two directions have emerged that might guide a continuing inquiry into the collaborative process. The first suggests further examination of the structural components or stages of collaboration. The second indicates a need not only to analyze more critically the "prescriptions" offered and the attendant values of the collaborative process, but also to further analyze the economic and political forces which inevitably direct such efforts.

Numerous questions have already been posed which encompass these two areas. Which is the most critical element for success in collaborative programming? Can a collaborative program succeed if all the "characteristics" are not present? Can the environment or climate be influenced to support collaboration? If so, how? What are the advantages and disadvantages of university involvement in collaborative activities? If one party initiates a program, is it possible for non-initiators to assume motivation and responsibility equal to that of the initiator? Do agencies become more collaborative as time goes by? Do people? Do they do so if original agreements were not based on collaborative premises? Can one agency change another agency's style? Should it try? Should an agency adapt to another agency's uncollaborative sytle in order to gain access to certain client groups? What are the variations of political and ethical constraints which outsiders confront when working with a rural client group, a church organization, a government ministry?

But beyond these questions is another more basic consideration brought into clearer focus by the following quotation:

> The organization of the programmatic content of education is an eminently political act. . . Thus, in concerning myself with what should be known, I am also necessarily involved with why it needs to be known, how, to what end. . . and in whose interest. . .[55]

This study concludes with an emphasis on the second of the two directions of inquiry. As the quotation above so deftly states, education is political for each person involved in any part of an educational project. It is difficult to imagine that an activity which, whether nominally or practically, incorporates "participation," "cooperation," and "consciousness raising" can have any quality of neutrality about it. Those engaged in such an activity do well to ask themselves: What is the problem we are trying to solve? What are its root causes? What is our purpose? Whose interest do we, can we, serve?

The values underlying collaboration can be stated and their origins can be examined. Past economic and political motives can be identified as possible origins of collaboration as has been done in these pages. It follows that present and future economic and political motives can be seriously questioned as nonformal educators continue to invest in the collaborative process. Participants from industrializing countries need to consider these questions, yet they are posed here for special consideration by educators from the United States. If practitioners are interested in developing a theory of collaborative programming in nonformal education, this paper can provide a starting point. Theories can be used to explain and to justify behavior. They can also be used to explain and change behavior. It has been said that the collaborative process is a dynamic and evolutionary one. If this is true, the theory which explains

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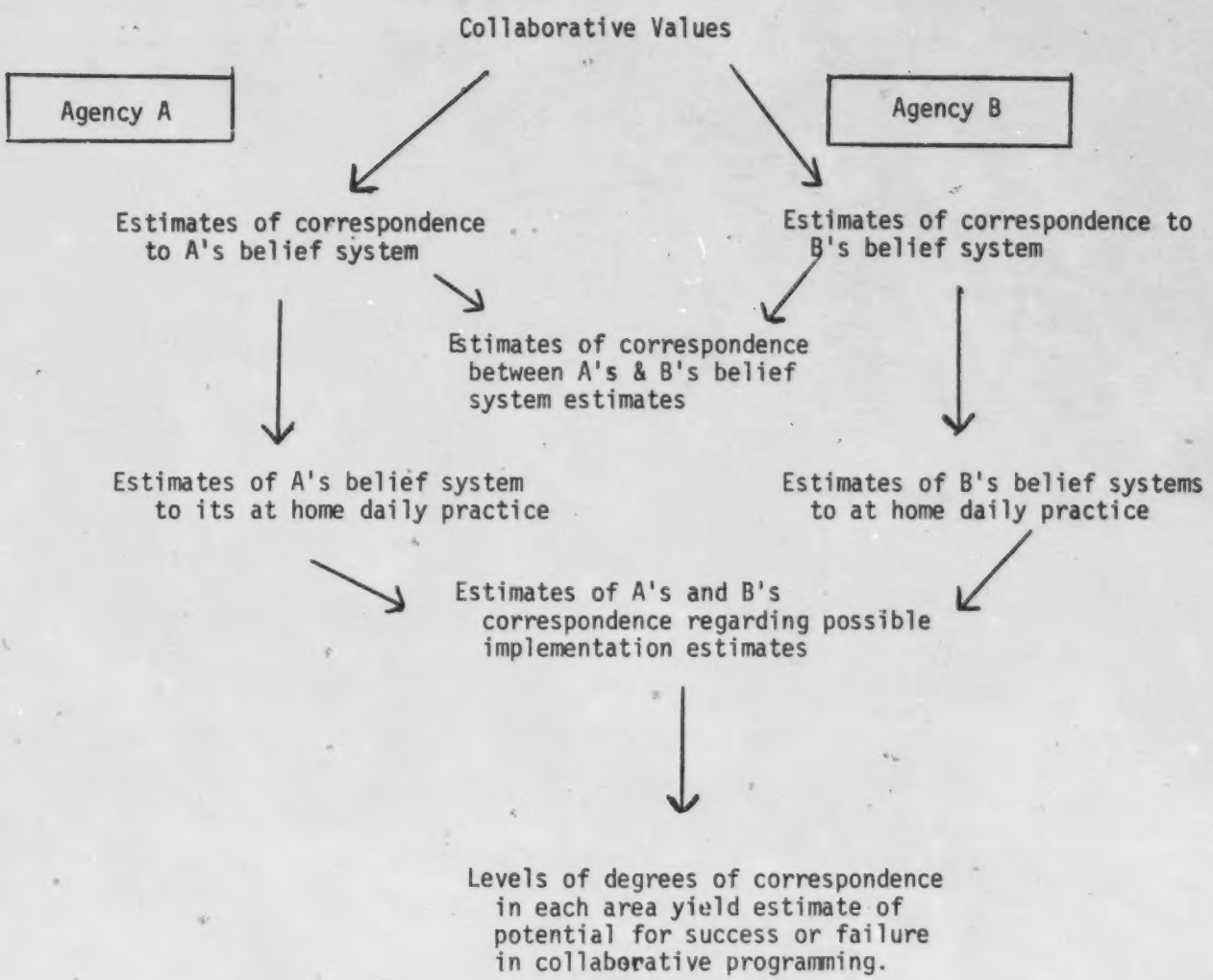
[55]Paulo Freire,"Letters to Guinea Bissau," (Reports, New York: World Education, March 1978).

it will not be a theory to justify present behavior thus leading to a static condition, but will, of necessity be a theory of change. These remarks suggest, however, that a theory of collaboration will not merely explain the shift from formal to nonformal education or from unilateral to cooperative programming, but will be a theory explicitly encompassing the economic and political issues implicit in every educational activity. Such an inquiry might contribute to the development of true collaboration in educational programming.

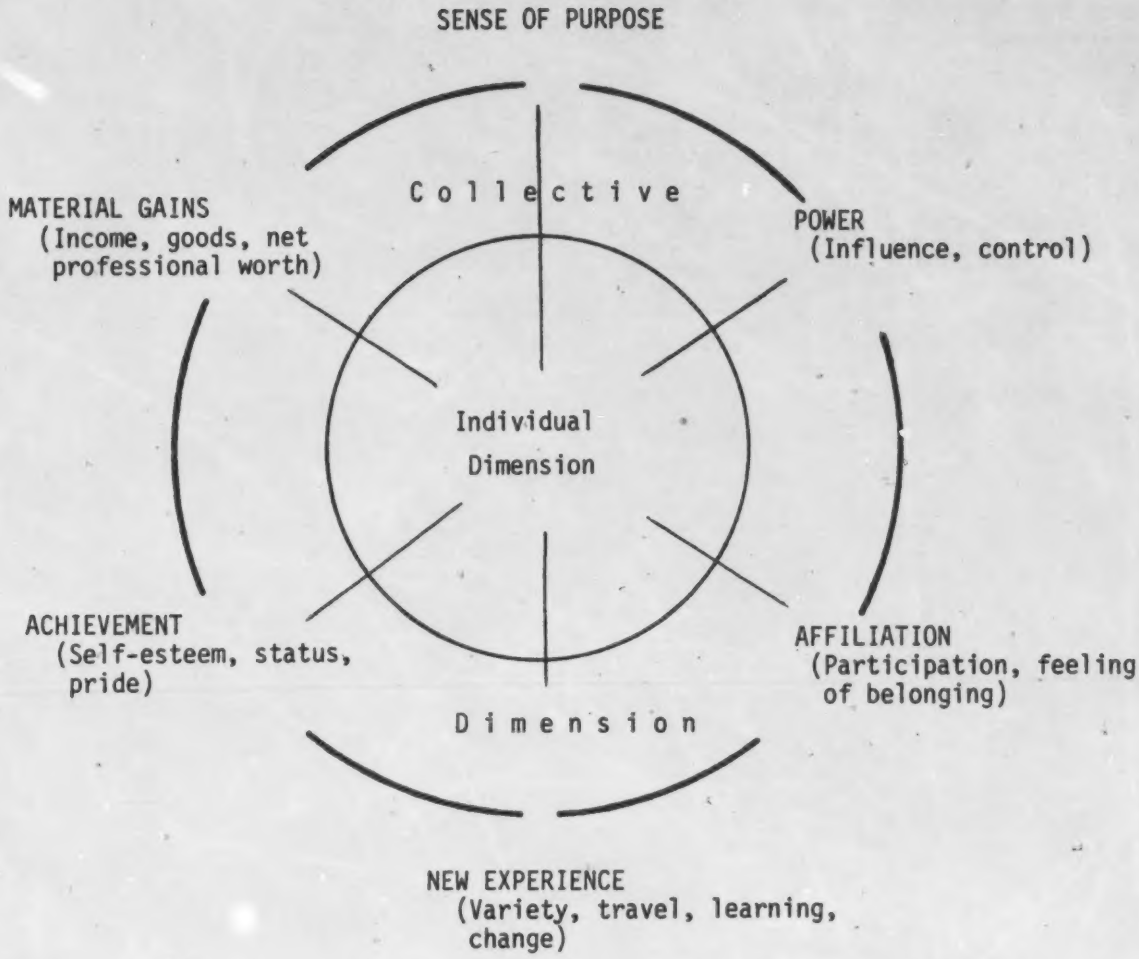
FIGURES

FIGURE 1: VALUE CHARACTERISTICS OF COLLABORATION *


Collaborative Values
Agency A
Agency B
Estimates of correspondence to A's belief system
Estimates of correspondence to B's belief system
Estimates of correspondence between A's & B's belief system estimates
Estimates of A's belief system to its at home daily practice
Estimates of B's belief systems to at home daily practice
Estimates of A's and B's correspondence regarding possible implementation estimates
Levels of degrees of correspondence in each area yield estimate of potential for success or failure in collaborative programming.

* Horace Reed, op. cit., p.2.

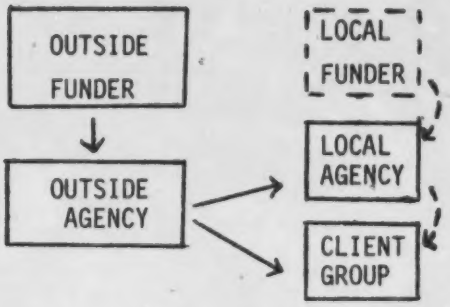
FIGURE 2: MOTIVATION/BENEFIT CYCLE*



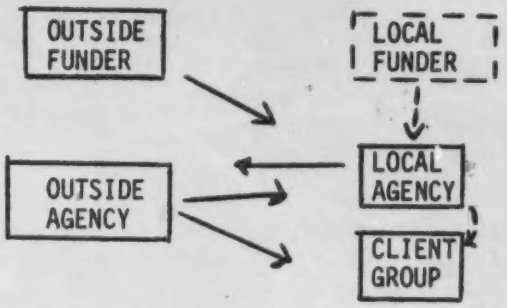
* David Kinsey, op. cit., p.6.

FIGURE 3: LEVELS AND DEGREES OF COLLABORATION*
(Most common examples)

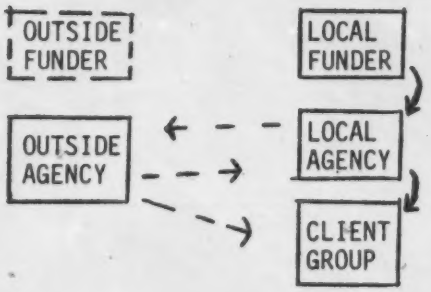
A. Single Outside: Initiative from Funder



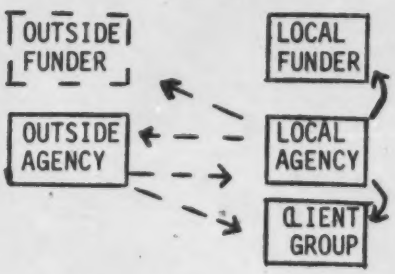
B. Mixed Outside: Initiative from Funder and Agency



C. Strong Inside: Initiative from Funder



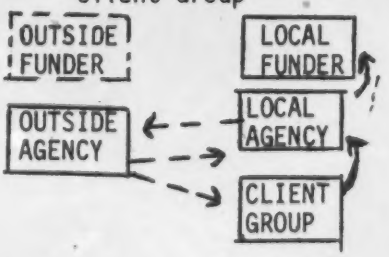
D. Strong Inside: Initiative from Agency



KEY

Solid outlines = definite role
Dotted outlines = indefinite or nonexistent role
Full arrows - strong influence or relationship
Dotted arrows = weak or indefinite influence or relationship

E. Strong Inside: Initiative from Client Group



* David Kinsey, op.cit., p. 2.

FIGURE 4: BALANCE OF PARTICIPATION *

PROGRAM PHASE	PARTIES' PARTICIPATION					
	A (High - low)		B (High - low)		C, etc. (High - Low)	
Decision to begin	?	?	?	?	?	?
General plan & design	?	?	?	?	?	?
Determination of content and activities	?	?	?	?	?	?
Implementation	?	?	?	?	?	?
Evaluation and Revision	?	?	?	?	?	?

* David Kinsey, op.cit., p. 5.

FIGURE 5: TYPE OF AGREEMENT *

The Collaborative Contract - Variations

TYPE OF COMMITMENT (To do or provide)	DEGREE OF SPECIFICITY (Increases from left to right)		
	General Intent	Specific Categories	Itemized Listing
Anticipate each will provide or do:			
Party A - Action 1,2 etc.			
Party B - Action 1,2 etc.			
Party C - Action 1,2 etc.			
Anticipate each will receive or gain:			
Party A - Gains, 1,2 etc.			
Party B - Gains 1,2 etc.			
Party C - Gains 1,2 etc.			

* David Kinsey, op.cit., p. 3.

FIGURE 6: FORMATIVE EVALUATION AND CORRECTION MECHANISMS*

	Range of possibilities
WHO?	Individuals from 2 parties ⟶ Representatives from all.
WHAT?	Single aspect/problem/objective ⟶ Total range of aspects/problems/objectives
WHEN?	↕ At single party adhoc request. When unanticipated critical incidents or changes arise. For specific anticipated decisions. At established check points.
HOW?	Goal-Free Methods: For example, to know if parties are satisfied or not about general situation or specific aspects ↕ Strengths or problems in the collaborative process (using Itemized Response Listing) To discover forces helping or hindering collaboration and relative strength of each (using Force-Field Analysis). Goal-Related Methods: For example to discern if stated objectives are being met. To discover discrepancies between current situation and stated objectives (using Discrepancy Analysis.

* David Kinsey, op.cit., p.8.

APPENDICES

APPENDIX I*

Characteristics of Nonformal Education**

I. Regarding its focus on the community:

1. Sponsors solidarity and companionship.
2. Creates channels of communication with the community.
3. Is oriented toward a critical analysis of political, social and economic reality.
4. Directs its action toward group work and self-criticism.
5. Promotes both community growth and that of the individuals within the primary groups.
6. Does not discriminate against individuals nor make a hierarchy of their needs.

II. Regarding its relevance and humanism:

1. Its content has a short-term usefulness, and is determined by the community itself.
2. Develops critical and committed consciousness of the transformation of the physical and social environment.
3. Utilizes methodologies where all may participate in a creative process.
4. Provokes self-appraisal.
5. Takes into consideration the different learning styles and necessities of the individuals.
6. Preserves individual identity without losing the fixed objectives of the learning group.
7. Stimulates leadership participation and shares the responsibility of the action.

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* See text, p. 6.

** Center for International Education, NFE in Ecuador: 1971-1975 (Amherst: Center for International Eduation, 1976), p. 20

Appendix I , continued

III. Regarding its flexibility:

1. Can take place anywhere.
2. Has an open schedule and learning time is unlimited.
3. Invents its own resources for learning.
4. Creates concepts and constantly redefines the current situations of the participants.
5. Avoids preestablished curriculum.

APPENDIX II *

The principal aspects of a country to be evaluated in the course of the analysis are these:**

1. Attitudes of host government toward Title IX programs:
   (a) commitment to political development
   (b) sensitivity to U.S. involvement
2. Concentration of decision-making power.
3. Centralization of government.
4. Attitudes of government elite concerning the importance of economic development.
5. Dependency on the United States.
6. Capability of leadership.
7. Extent to which government is limited either in scope of its functions or magnitude of its operations.
8. Bureaucratic efficiency.
9. Adequacy of communication infrastructure.
10. Legitimacy of leadership.
11. Extent of economic development and social change in process in the country.
12. Legitimacy of governmental institutions.
13. Problems of national unity; possibility of fragmentation.

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* This appendix is included for comparison with "characteristics of collaborative programming", pp. 15 and 24-30.

** David Hapgood, The Role of Popular Participation in Development: Report of a Conference on the Implementation of Title IX of the Foreign Assistance Act, June 24-Aug. 2,1968.(Cambridge,Mass., MIT Press,1969), p.86.

APPENDIX III *

This is an outline of the contents of a chapter entitled "Host Country Situations and Strategies" in the MIT report cited in Appendix II.

A. Country uninterested in political development.

1. While resistant to change, power is diffused or decentralized.
2. While resistant to change, there is commitment to economic growth.
3. High dependency on U.S. input (military, economic, diplomatic,good will).
4. Elite fear external threat or loss of power.

B. Interested in reasonable amounts of political change but sensitive about U.S. involvement in the process.

1. Sensitive to appearance of U.S. involvement but not to program involvement. Adverse to public association but not to economic aid.
2. Power is diffused within any layer of government.
3. Commitment to economic development.

C. Reasonably receptive to Title IX programs regarding political development and acceptance of U.S. participation, but whose government's ability to pursue those goals is limited.

1. Incapacity due to lack of leadership (imagination, innovation, planning) or to inability to control bureaucracy or to generate popular enthusiasm.
2. Constrained by ideology, countervailing political forces, resource limits.
3. Bureaucratic inefficiency from poorly trained personnel, poor organization or chain of command; "Formalistic rather than pragmatic bureaucratic norms."
4. Inadequate communications and infrastructure.
5. Leadership legitimacy questioned by people.
6. Legitimacy of public institutions is in question by people.
7. National unity is precarious.

* This appendix is included for comparison with 'major constraints' to collaboration discussed on pages 18 - 20.

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